

Applicant's Docket No. 04995.0032

PATENT # 13  
Jm  
1/11/02

JAN 04 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

☒ In re application of: Jeffrey R. Stinson, et al.

Application No.: 09/215,163

Group No.: 1645

Filed: December 12, 1998

Examiner: J. Graser

For: HUMANIZED MONOCLONAL ANTIBODIES THAT PROTECT AGAINST SHIGA  
TOXIN INDUCED DISEASE

☐ Patent No.\*:

Issued:

\*NOTE: Insert name(s) of all inventor(s) and title also for patent.

Assistant Commissioner for Patents  
Washington, D.C. 20231

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JAN 09 2002

TECH CENTER 1600/2900

**POWER OF ATTORNEY BY CO-ASSIGNEE OF ENTIRE INTEREST  
(REVOCATION OF PRIOR POWERS)**

As co-assignee of record of the entire interest of the above identified

☒ application,

☐ patent,

**REVOCATION OF PRIOR POWERS OF ATTORNEY**

all powers of attorney previously given are hereby revoked and

**NEW POWER OF ATTORNEY**

the following attorney(s) and/or agent(s) are hereby appointed to prosecute and transact all business in the Patent and Trademark Office connected therewith.

*(list name and registration number)*

David G. Conlin, Reg. No. 27,026  
George W. Neuner, Reg. No. 26,964  
Linda M. Buckley, Reg. No. 31,003  
Peter F. Corless, Reg. No. 33,860

Robert L. Buchanan, Reg. No. 40,927  
Kathryn A. Piffat, Reg. No. 34,901  
John B. Alexander, Reg. No. 48,399

*(check the following item, if applicable)*

☒ Attached, as part of this power of attorney, is the authorization of the above-named attorney(s) to accept and follow instructions from my representative(s).

**SEND CORRESPONDENCE TO:**

Robert L. Buchanan  
EDWARDS & ANGELL, LLP  
Dike, Bronstein, Roberts & Cushman - IP Practice Group  
P. O. Box 9169, Boston, MA 02209

**DIRECT TELEPHONE CALLS TO:**

(617) 439-4444

Customer No.: 21874

The Henry M. Jackson Foundation for the Advancement of Military Medicine  
(type or print identity of assignee of entire interest)

Suite 600, 1401 Rockville Pike  
Address

Rockville, Maryland 20852

- [X] Recorded in PTO on May 15, 2000  
Reel 010818  
Frame 0483  
[ ] Recorded herewith

**CO-ASSIGNEE STATEMENT**

Attached to this power is a "STATEMENT UNDER 37 C.F.R. section 3.73(b)."

Date 10/22/01

  
Signature

John Lowe

(type or print name of person authorized to sign on behalf of assignee)

President

Title

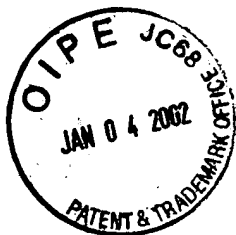
NOTE: The assignee of the entire interest may revoke previous powers and be represented by an attorney of his or her selection.  
37 C.F.R. 1.36.

(check the following item, if it forms a part of this power of attorney)

- [X] Added page—Authorization of attorney(s) to accept and follow instructions from representative.

**ADDED PAGE TO POWER OF ATTORNEY BY CO-ASSIGNEE OF ENTIRE  
INTEREST FOR AUTHORIZATION OF ATTORNEY(S) TO ACCEPT AND  
FOLLOW INSTRUCTIONS FROM REPRESENTATIVE**

The undersigned to this power of attorney hereby authorize(s) the U.S. attorney(s) named herein to accept and follow instructions from



Dean Taylor, Ph.D., Vice President, Business Development

Name(s) of authorized representative(s)

Sunol Molecular Corporation  
2810 Noth Commerce Parkway  
Miramar, Florida 33025  
Address

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**JAN 09 2002**

**TECH CENTER 1600/2900**

as to any actions to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney(s) and the undersigned. In the event of a change in the person(s) from whom instructions may be taken, the U.S. attorney(s) will so be notified by the undersigned.



4995.0072 THJ/JBF/LXB  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JANUARY 24, 2000

PTAS  
FINNEGAN, HENDERSON, FARABOW ET AL.  
JEAN B. FORDIS  
1300 I STREET, N.W.  
WASHINGTON, D.C. 20005-3315



\*101182212A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/26/1999

REEL/FRAME: 010333/0049  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

O'BRIEN, ALISON D.

DOC DATE: 10/18/1999

ASSIGNOR:

SCHMITT, CLARE K.

DOC DATE: 10/18/1999

ASSIGNOR:

MELTON-CELSA, ANGELA

DOC DATE: 10/18/1999

ASSIGNEE:

UNIFORMED SERVICES UNIVERSITY OF  
THE HEALTH SCIENCE  
4301 JONES BRIDGE ROAD  
BETHESDA, MARYLAND 20814

RECEIVED

SERIAL NUMBER: 09215163

PATENT NUMBER:

FILING DATE: 12/18/1998

ISSUE DATE:

SERIAL NUMBER: 60068635

PATENT NUMBER:

FILING DATE: 12/23/1997

ISSUE DATE:

FINNEGAN, HENDERSON, FARABOW, ET AL.  
GARRETT AND DUNN, LLP

06th of 31-00-0000

010333/0049 PAGE 2

SHAREILL COLES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS



Practitioner's Docket No. 04995.0032

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Jeffrey R. Stinson, et al.

Application No.: 09/215,163

Group No.: 1645

Filed: December 12, 1998

Examiner: J. Graser

For: HUMANIZED MONOCLONAL ANTIBODIES THAT PROTECT AGAINST SHIGA  
TOXIN INDUCED DISEASE

Patent\*: \_\_\_\_\_

Issue Date: \_\_\_\_\_

Reexamination No.: \_\_\_\_\_

Issue Date: \_\_\_\_\_

**RECEIVED**

Reissue: \_\_\_\_\_

Issue Date: \_\_\_\_\_

**JAN 09 2002**

\*NOTE: Insert name(s) of inventor(s) and title for patent.

**TECH CENTER 1600/2900**

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

**STATEMENT UNDER 37 C.F.R. SECTION 3.73(b)**

**CERTIFICATION UNDER 37 C.F.R. SECTIONS 1.8(a) and 1.10\***

*(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

- ☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

**37 C.F.R. SECTION 1.8(a)**

**37 C.F.R. SECTION 1.10\***

- ☒ with sufficient postage as first class mail.

- ☐ as "Express Mail Post Office to Addressee"  
Mailing Label No. \_\_\_\_\_ (mandatory)

**TRANSMISSION**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Patricia A. Barnes  
Signature

Date: **October 29, 2001**

Patricia A. Barnes  
(type or print name of person certifying)

**\*WARNING:** Each paper or fee filed by "Express Mail" **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. section 1.10(b).  
"Since the filing of correspondence under section 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

## ESTABLISHING RIGHT OF CO-ASSIGNEE TO TAKE ACTION

NOTE: 37 C.F.R. section 3.73(b) states: "When an assignee seeks to take action in a matter before the Office with respect to a patent application, ..., patent, registration, or reexamination proceeding, the assignee must establish its ownership of the property to the satisfaction of the Commissioner. Ownership is established by submitting to the Office, in the Office file related to the matter in which action is sought to be taken, documentary evidence of a chain of title from the original owner to the assignee (e.g., copy of an executed assignment submitted for recording) or by specifying (e.g., reel and frame number) where such evidence is recorded in the Office. The submission establishing ownership must be signed by a party authorized to act on behalf of the assignee. Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office."

NOTE: "Section 3.73(b) is amended to remove the sentence requiring an assignee to specifically state that the evidentiary documents have been reviewed and to certify that title is in the assignee seeking to take action. The sentence is deemed to be unnecessary in view of the amendment to sections 1.4(d) and 10.18." Notice of Oct. 10, 1997, 62 Fed. Reg. 53,131, at 53,174.

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

## IDENTIFICATION OF CO-ASSIGNEE

2. The Henry M. Jackson Foundation for the Advancement of Military Medicine

Name of assignee

Foundation

Type of assignee, e.g., corporation, partnership, university, government agency, etc.

## PERSON AUTHORIZED TO SIGN

3. John Lowe

(type name of person authorized to sign on behalf of assignee)

President

Title of person authorized to sign

NOTE: The Notice of April 30, 1993 (1150 O.G. 62-64) points out:

*"The statement under 37 C.F.R. section 3.73(b) may be signed on behalf of the assignee in the following two manners if the assignee is an organization (e.g., corporation, partnership, university, government agency, etc.).*

*"(1) The statement may be signed by a person in the organization having apparent authority to sign on behalf of the organization. An officer (president, vice-president, secretary, or treasurer) is presumed to have authority to sign on behalf of the organization. The signature of the chairman of the board of directors is acceptable, but not the signature of an individual director. A person having a title (manager, director, administrator, general counsel) that does not clearly set forth that person as an officer of the assignee is not presumed to be an officer of the assignee or to have authority to sign the statement on behalf of the assignee. A power of attorney from the inventors in an organization to a practitioner to prosecute a patent application does not make the practitioner an official of an assignee or empower the practitioner to sign the statement on behalf of the assignee.*

*"(2) The statement may be signed by any person, if the statement includes an averment that the person is empowered to sign the statement on behalf of the assignee and, if not signed by a registered practitioner, the statement must be in oath or declaration form. Where a statement does not include such an averment, and the person signing does not*

hold a position in the organization that would give rise to a presumption that the person is empowered to sign the statement on behalf of the assignee, evidence of the person's authority to sign will be required."

(complete the following, if applicable)

[Author's Note: The requirement for an oath or declaration for this statement by a person not a registered practitioner was rescinded by the rules effective December 1, 1997.]

[X] I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

#### BASIS OF CO-ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

A.

1. [X] An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at  
Reel 010333 , Frame 0049 .
2. [ ] An assignment (document) separately being submitted for recordal herewith.

#### AND/OR

B. [X] A chain of title from the inventor(s) to the current assignee as shown below:

1. From: Uniformed Services University of the Health Sciences  
Name of inventor(s)  
To: The Henry M. Jackson Foundation for the Advancement of Military Medicine  
Recorded in PTO: Reel 010818 , Frame 0483
2. From: \_\_\_\_\_  
Name of inventor(s) or assignee  
To: \_\_\_\_\_  
Recorded in PTO: Reel \_\_\_\_\_ , Frame \_\_\_\_\_
3. From: \_\_\_\_\_  
Name of inventor(s) or assignee  
To: \_\_\_\_\_  
Recorded in PTO: Reel \_\_\_\_\_ , Frame \_\_\_\_\_

(check item below, and add details, if applicable)

[ ] Additional documents in the chain of title are listed in the attached Supplemental Sheet.

#### COPIES OF DOCUMENTS IN CHAIN OF TITLE



(complete this item, if copies are being sent)

[X] Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

[X]	A	[X]	1	[ ]	2	
[X]	B	[X]	1	[ ]	2	[ ] 3

  
\_\_\_\_\_  
Signature of authorized person

John Lowe  
\_\_\_\_\_  
(type or print name of authorized person)

President  
\_\_\_\_\_  
Title of authorized person

  
\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

Robert L. Buchanan  
\_\_\_\_\_  
(type or print name of practitioner)

EDWARDS & ANGELL, LLP  
Dike, Bronstein, Roberts & Cushman – IP Practice Group  
P. O. Box 9169, Boston, MA 02209  
\_\_\_\_\_  
P.O. Address

Reg. No.: 40,927

Tel. No.: ( 617) 439-4444

Fax: (617) 439-4170 / 7748

Customer No.: 21874



Applicant's Docket No. 04995.0032

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

JAN 09 2002

TECH CENTER 1600/2900

☒ In re application of: Jeffrey R. Stinson, et al.

Application No.: 09/215,163

Group No.: 1645

Filed: December 12, 1998

Examiner: J. Graser

For: HUMANIZED MONOCLONAL ANTIBODIES THAT PROTECT AGAINST SHIGA  
TOXIN INDUCED DISEASE

☐ Patent No.\*:

Issued:

\*NOTE: Insert name(s) of all inventor(s) and title also for patent.

Assistant Commissioner for Patents  
Washington, D.C. 20231

**POWER OF ATTORNEY BY CO-ASSIGNEE OF ENTIRE INTEREST  
(REVOCATION OF PRIOR POWERS)**

As co-assignee of record of the entire interest of the above identified

☒ application,

☐ patent,

**REVOCATION OF PRIOR POWERS OF ATTORNEY**

all powers of attorney previously given are hereby revoked and

**NEW POWER OF ATTORNEY**

the following attorney(s) and/or agent(s) are hereby appointed to prosecute and transact all business in the  
Patent and Trademark Office connected therewith.

*(list name and registration number)*

David G. Conlin, Reg. No. 27,026

Robert L. Buchanan, Reg. No. 40,927

George W. Neuner, Reg. No. 26,964

Kathryn A. Piffat, Reg. No. 34,901

Linda M. Buckley, Reg. No. 31,003

John B. Alexander, Reg. No. 48,399

Peter F. Corless, Reg. No. 33,860

*(check the following item, if applicable)*

☒ Attached, as part of this power of attorney, is the authorization of the above-named  
attorney(s) to accept and follow instructions from my representative(s).

**SEND CORRESPONDENCE TO:**

Robert L. Buchanan  
EDWARDS & ANGELL, LLP  
Dike, Bronstein, Roberts & Cushman - IP Practice Group  
P. O. Box 9169, Boston, MA 02209

**DIRECT TELEPHONE CALLS TO:**

(617) 439-4444

Customer No.: 21874

Sunol Molecular Corporation

(type or print identity of assignee of entire interest)

2810 North Commerce Parkway

Address

Miramar, Florida 33025

- ☐ Recorded in PTO on \_\_\_\_\_  
Reel \_\_\_\_\_  
Frame \_\_\_\_\_  
☐ Recorded herewith

**CO-ASSIGNEE STATEMENT**

Attached to this power is a "STATEMENT UNDER 37 C.F.R. section 3.73(b)."

Date OCT. 22, 2001

  
Signature

Hing C. Wong

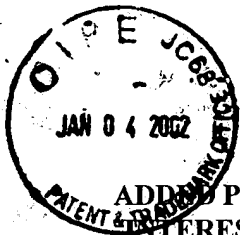
(type or print name of person authorized to sign on behalf of assignee)

~~Vice President~~ Chairman & Chief Scientific Officer  
Title

NOTE: The assignee of the entire interest may revoke previous powers and be represented by an attorney of his or her selection.  
37 C.F.R. 1.36.

(check the following item, if it forms a part of this power of attorney)

- ☒ Added page—Authorization of attorney(s) to accept and follow instructions from representative.



**ADDED PAGE TO POWER OF ATTORNEY BY CO-ASSIGNEE OF ENTIRE  
INTEREST FOR AUTHORIZATION OF ATTORNEY(S) TO ACCEPT AND  
FOLLOW INSTRUCTIONS FROM REPRESENTATIVE**

The undersigned to this power of attorney hereby authorize(s) the U.S. attorney(s) named herein to accept and follow instructions from

Dean Taylor, Ph.D., Vice President, Business Development

Name(s) of authorized representative(s)

Sunol Molecular Corporation  
2810 North Commerce Parkway  
Miramar, Florida 33025

Address

as to any actions to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney(s) and the undersigned. In the event of a change in the person(s) from whom instructions may be taken, the U.S. attorney(s) will so be notified by the undersigned.

(Added page to Power of Attorney by Assignee of Entire Interest for  
Authorization of Attorney(s) to Accept and Follow Instructions From  
Representative)

FORM PTO-1594  
1-31-92PATENT FORM COVER SHEET  
06-02-2000U.S. Department of Commerce  
Patent and Trademark Office  
Attorney Docket No. 04995.0032The Honorable Commissioner of Patents  
Please record the attached original documentName of conveying party(ies):  
Uniformed Services University of Health Sciences

101371954

## ATTN. BOX ASSIGNMENTS

Name and address of receiving party(ies):

Name: The Henry M. Jackson Foundation for the  
Advancement of Military Medicine

Internal Address: Suite 600

Street Address: 1401 Rockville Pike

City: Rockville

State: Maryland Zip Code: 20852

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

Nature of conveyance:

Assignment ☐ MergerSecurity Agreement ☐ Change of Name

Other

Execution Date: May 9, 2000

Additional name(s) &amp; Address(es) attached?

☐ Yes ☒ No

Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application:

Patent Application Number(s):

60/068,635 and 09/215,163

B. Patent Number(s):

Additional numbers attached? ☐ Yes ☒ No

Name and address of party to whom correspondence concerning document should be mailed:

Name: Jean B. Fordis

Mailing Address: Finnegan, Henderson, Farabow, Garrett & Dunner,  
L.L.P.

Street Address: 1300 I Street, N.W.

City: Washington

State: DC Zip: 20005-3315

6. Total number of applications and registrations involved: Two

7. Total fee (37 CFR 3.41): \$80

Enclosed (Please charge deficiency to deposit account)  
☐

Authorized to be charged to deposit account

8. Deposit account number: 06-0916

Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Jean B. Fordis

Reg. No. 32,984

Jean B Fordis

Signature

May 15, 2000

Date

Total number of pages including cover sheet, attachments and documents: 3

2000 DNGUYEN 00000069 60068635

581

80.00 OP.

PATENT  
REEL: 010818 FRAME: 0483

## ASSIGNMENT

WHEREAS, the UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES, a United States Government Agency (hereinafter referred to as Assignor), by virtue of an assignment from inventors executed on October 18, 1999, has right, title, and interest in an invention entitled:

### **Humanized Monoclonal Antibodies That Protect Against Shiga Toxin Induced Disease**

for which a provisional application was filed on December 23, 1997 (Serial No. 60/068,635) and an application for United States Letters Patent on December 18, 1998 (Serial No. 09/215,163); and

WHEREAS, the HENRY M. JACKSON FOUNDATION FOR THE ADVANCEMENT OF MILITARY MEDICINE, a corporation of Rockville, Maryland, whose post office address is 1401 Rockville Pike, Suite 600, Rockville, Maryland 20852 (hereinafter referred to as Assignee), is desirous of securing the right, title, and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application; and

WHEREAS, Congress envisioned that the Assignor should be, among other things, at the forefront of medical teaching, research and care, and, in 1983, in order to facilitate the carrying out of these purposes, established the Assignee; and

WHEREAS, accordingly, the Assignor and the Assignee have entered into an agreement on Patents and Technology whereby the Assignee is the Assignor's primary patent management organization, and this Assignment is in furtherance of this agreement.

NOW THEREFORE, be it known that for and in consideration the receipt of which from Assignee is hereby acknowledged, the Assignor does hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, its entire right, title, and interest in and to this invention, and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof; and all rights to claim priority on the basis of such application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and hereby authorizes and requests the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment.

THE ASSIGNOR DOES HEREBY covenant that it has the full right to convey the interest assigned by this Assignment, and has not executed and will not execute any agreement in conflict with this Assignment; and

THE ASSIGNOR DOES HEREBY further covenant and agree that it will, without further consideration, communicate with Assignee, its successors and assigns, any facts known to it respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns.

IN TESTIMONY WHEREOF, I have hereunto set my hand.

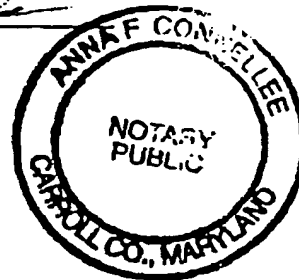
STATE OF MARYLAND, COUNTY OF MONTGOMERY, SS.

  
DR. JAMES A. ZIMBLE, PRESIDENT  
UNIFORMED SERVICES UNIVERSITY  
OF THE HEALTH SCIENCES

Subscribed and sworn to before me this  
9<sup>th</sup> day of May, 2002.

  
Notary Public

My Commission expires 4-1-04



10-28-1999

FORM PTO-1594  
1-31-92Recordation  
Patent

101182212

U.S. Department of Commerce  
Patent and Trademark Office  
Attorney Docket No. 4995.0032To the Honorable Commissioner of Patents and Trademarks:  
Please record the attached original documents or copy thereof.

ATTN. BOX ASSIGNMENTS

## 1. Name of conveying party(ies):

O'BRIEN, Alison D.  
SCHMITT, Clare K.  
MELTON-CELSA, Angela

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name

Execution Date(s): October 18, 1999

## 2. Name and address of receiving party(ies):

Name: UNIFORMED SERVICES UNIVERSITY  
OF THE HEALTH SCIENCE

Internal Address:

Street Address: 4301 Jones Bridge Road

City: Bethesda

State: Maryland Zip Code: 20814

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

## 4. Application number(s) or registration number(s):

A. Patent Application Number:

09/215,163  
60/068,635Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Finnegan, Henderson, Farabow,  
Garrett & Dunner, L.L.P.

Street Address: 1300 I Street, N.W.

City: Washington

State: D.C. Zip: 20005-3315

## 6. Total number of applications involved:

2

## 7. Total fee (37 CFR 3.41): \$80.00

☒ Enclosed (Please charge deficiency to deposit account)  
☐ Authorized to be charged to deposit account8. Deposit account number: 06-0916

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct, and any attached copy is a true copy of the original document.

Jean B. Fordis

Jean B. Fordis, Reg. No. 32,984

October 27, 1999

Date

Total number of pages including cover sheet, attachments and documents: 3

10/27/1999 NTHA11 00000314 09215163

01 FC:581

80.00 OP

RECEIVED

JAN 09 2002

TECH CENTER 1600/2900



## ASSIGNMENT

WHEREAS We, the below named inventors, [hereinafter referred to as Assignors], have made an invention entitled:

HUMANIZED MONOCLONAL ANTIBODIES THAT  
PROTECT AGAINST SHIGA TOXIN INDUCED DISEASE

for which We filed a provisional application on December 23, 1997, (Serial No. 60/068,635) and an application for United States Letters Patent on December 18, 1998, (Serial No. 09/215,163); and

WHEREAS, Uniformed Services University of Health Sciences, a United States Government Agency located in Bethesda, Maryland, whose post office address is 4301 Jones Bridge Road, Bethesda, Maryland 20814-4799 (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention, the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that, for good and valuable consideration the receipt of which from Assignee is hereby acknowledged, We, as Assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof; and all rights to claim priority on the basis of such application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and We hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, WE HEREBY covenant that We have the full right to convey the interest assigned by this Assignment, and We have not executed and will not execute any agreement in conflict with this Assignment;

AND, WE HEREBY further covenant and agree that we will, without further consideration, communicate with Assignee, its successors and assigns, any facts known to us respecting this invention and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors and assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns.

IN TESTIMONY WHEREOF, I have hereunto set my hand.

County of Montgomery  
State of Maryland

Alison D. O'Brien

5514 Charlotte Road, Bethesda, Maryland 20817

SIGNATURE

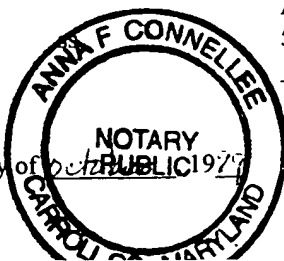
DATE

Subscribed and sworn to before me this 18th day of October

NOTARY  
PUBLIC 1997

Anna F. Connelley Notary Public

My Commission expires 4-1-00

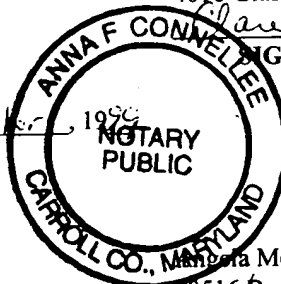


County of Montgomery  
 State of Maryland

ss.

Clare K. Schmitt  
 4616 Glasgow Drive, Rockville, Maryland 20853

Clare K. Schmitt 10/18/99  
 SIGNATURE DATE



Subscribed and sworn to before me this 18th day of October, 1999

Anna F. Connelley Notary Public

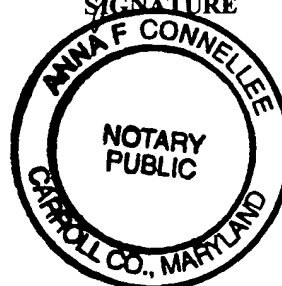
My Commission expires 4-1-00

County of Montgomery  
 State of Maryland

ss.

Margie Melton-Celsa  
 20516 Brandwine Court, Sterling, Virginia 20165

Margie Melton-Celsa 10/18/99  
 SIGNATURE DATE



Subscribed and sworn to before me this 18th day of October, 1999

Anna F. Connelley Notary Public

My Commission expires 4-1-00



Applicant's Docket No. 04995.0032

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Jeffrey R. Stinson, et al.

Application No.: 09/215,163

Group No.: 1645

Filed: December 12, 1998

Examiner: J. Graser

For: HUMANIZED MONOCLONAL ANTIBODIES THAT PROTECT AGAINST SHIGA  
TOXIN INDUCED DISEASE

Patent\*: \_\_\_\_\_

Issue Date: \_\_\_\_\_

Reexamination No.: \_\_\_\_\_

Issue Date: \_\_\_\_\_

Reissue: \_\_\_\_\_

Issue Date: \_\_\_\_\_

*\*NOTE: Insert name(s) of inventor(s) and title for patent.*

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

**STATEMENT UNDER 37 C.F.R. SECTION 3.73(b)**

**CERTIFICATION UNDER 37 C.F.R. SECTIONS 1.8(a) and 1.10\***

*(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

- ☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

**37 C.F.R. SECTION 1.8(a)**

**37 C.F.R. SECTION 1.10\***

- ☒ with sufficient postage as first class mail.

- ☐ as "Express Mail Post Office to Addressee"  
Mailing Label No. \_\_\_\_\_ (mandatory)

**TRANSMISSION**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Patricia A. Barnes  
Signature

Date: **October 29, 2001**

Patricia A. Barnes  
(type or print name of person certifying)

**\*WARNING:** Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. section 1.10(b).  
"Since the filing of correspondence under section 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

## ESTABLISHING RIGHT OF CO- ASSIGNEE TO TAKE ACTION

NOTE: 37 C.F.R. section 3.73(b) states: "When an assignee seeks to take action in a matter before the Office with respect to a patent application, ..., patent, registration, or reexamination proceeding, the assignee must establish its ownership of the property to the satisfaction of the Commissioner. Ownership is established by submitting to the Office, in the Office file related to the matter in which action is sought to be taken, documentary evidence of a chain of title from the original owner to the assignee (e.g., copy of an executed assignment submitted for recording) or by specifying (e.g., reel and frame number) where such evidence is recorded in the Office. The submission establishing ownership must be signed by a party authorized to act on behalf of the assignee. Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office."

NOTE: "Section 3.73(b) is amended to remove the sentence requiring an assignee to specifically state that the evidentiary documents have been reviewed and to certify that title is in the assignee seeking to take action. The sentence is deemed to be unnecessary in view of the amendment to sections 1.4(d) and 10.18." Notice of Oct. 10, 1997, 62 Fed. Reg. 53,131, at 53,174.

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

### IDENTIFICATION OF CO-ASSIGNEE

2. Sunol Molecular Corporation

Name of assignee

Corporation

Type of assignee, e.g., corporation, partnership, university, government agency, etc.

### PERSON AUTHORIZED TO SIGN

3. Hing C. Wong

(type name of person authorized to sign on behalf of assignee)

Vice President

Chairman & Chief Scientific Officer

Title of person authorized to sign

NOTE: The Notice of April 30, 1993 (1150 O.G. 62-64) points out:

"The statement under 37 C.F.R. section 3.73(b) may be signed on behalf of the assignee in the following two manners if the assignee is an organization (e.g., corporation, partnership, university, government agency, etc.).

"(1) The statement may be signed by a person in the organization having apparent authority to sign on behalf of the organization. An officer (president, vice-president, secretary, or treasurer) is presumed to have authority to sign on behalf of the organization. The signature of the chairman of the board of directors is acceptable, but not the signature of an individual director. A person having a title (manager, director, administrator, general counsel) that does not clearly set forth that person as an officer of the assignee is not presumed to be an officer of the assignee or to have authority to sign the statement on behalf of the assignee. A power of attorney from the inventors in an organization to a practitioner to prosecute a patent application does not make the practitioner an official of an assignee or empower the practitioner to sign the statement on behalf of the assignee.

"(2) The statement may be signed by any person, if the statement includes an averment that the person is empowered to sign the statement on behalf of the assignee and, if not signed by a registered practitioner, the statement must be in oath or declaration form. Where a statement does not include such an averment, and the person signing does not

*hold a position in the organization that would give rise to a presumption that the person is empowered to sign the statement on behalf of the assignee, evidence of the person's authority to sign will be required."*

*(complete the following, if applicable)*

**[Author's Note:** The requirement for an oath or declaration for this statement by a person not a registered practitioner was rescinded by the rules effective December 1, 1997.]

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

### **BASIS OF CO-ASSIGNEE'S INTEREST**

Ownership by the assignee is established as follows:

**A.**

1. ☐ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_.
2. ☒ An assignment (document) separately being submitted for recordal herewith.

### **AND/OR**

**B. ☐** A chain of title from the inventor(s) to the current assignee as shown below:

1. From: \_\_\_\_\_  
Name of inventor(s)  
To: \_\_\_\_\_  
Recorded in PTO: Reel \_\_\_\_\_, Frame \_\_\_\_\_
2. From: \_\_\_\_\_  
Name of inventor(s) or assignee  
To: \_\_\_\_\_  
Recorded in PTO: Reel \_\_\_\_\_, Frame \_\_\_\_\_
3. From: \_\_\_\_\_  
Name of inventor(s) or assignee  
To: \_\_\_\_\_  
Recorded in PTO: Reel \_\_\_\_\_, Frame \_\_\_\_\_

*(check item below, and add details, if applicable)*

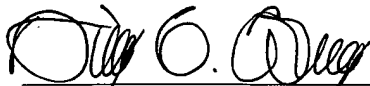
☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

### **COPIES OF DOCUMENTS IN CHAIN OF TITLE**

(complete this item, if copies are being sent)

[X] Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

[X]	A	[ ]	1	[X]	2	
[ ]	B	[ ]	1	[ ]	2	[ ] 3



Signature of authorized person

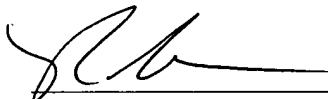
Hing C. Wong

(type or print name of authorized person)

~~Vice President~~

Chairman & Chief Scientific Officer

Title of authorized person



SIGNATURE OF PRACTITIONER

Robert L. Buchanan

(type or print name of practitioner)

EDWARDS & ANGELL, LLP

Dike, Bronstein, Roberts & Cushman – IP Practice Group

P. O. Box 9169, Boston, MA 02209

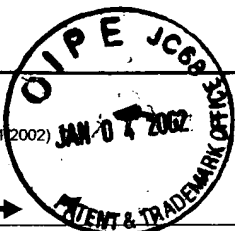
P.O. Address

Reg. No.: 40,927

Tel. No.: (617) 439-4444

Fax: (617) 439-4170 / 7748

Customer No.: 21874



RECORDATION FORM COVER SHEET

PATENTS ONLY

No.: 71758/56273

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Tab settings → → →

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Jeffrey R. Stinson;  
Hing Wong

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: July 24, 2001; & August 1, 2001

2. Name and address of receiving party(ies):

Name: Sunol Molecular Corporation

Internal Address:

JAN 09 2002

TECH CENTER 1600/2900

Street Address: 2810 N. Commerce Parkway

City: Miramar

State: FL

ZIP: 33025

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

09/215,163; &  
60/068,635

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Robert L. Buchanan

Internal Address: Dike, Bronstein, Roberts & Cushman

Intellectual Property Practice Group of

EDWARDS & ANGELL, LLP

Street Address: P. O. Box 9169

City: Boston

State: MA

ZIP: 02209

6. Total number of applications and patents involved:

2

7. Total fee (37 CFR 3.41):.....\$ 80.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

04-1105

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Robert L. Buchanan (Reg. No. 40,927)

Name of Person Signing

Signature

5

Date

Total number of pages including cover sheet, attachments, and document:

## ASSIGNMENT

WHEREAS We, the below named inventors, hereinafter referred to as Assignors, have made an invention entitled:

### HUMANIZED MONOCLONAL ANTIBODIES THAT PROTECT AGAINST SHIGA TOXIN INDUCED DISEASE

for which We filed an application for United States Letters Patent on December 18, 1998 (Serial No. 09/215,163) and a provisional application on December 23, 1997 (Serial No. 60/068,635); and

WHEREAS, Sunol <sup>Molecular</sup> Corporation, a corporation of Florida whose post office address is 2810 N. Commerce Parkway, Miramar, Florida 33025 (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that for and in consideration of the sum of One Dollar (\$1.00) in hand paid and other good and valuable consideration the receipt of which from Assignee is hereby acknowledged, We, as Assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention, provisional application Serial No. 60/068,635, filed December 23, 1997, and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of the above provisional application, as well as all rights to claim priority on the basis of this application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and We hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, WE HEREBY covenant that We have the full right to convey the interest assigned by this Assignment, and We have not executed and will not execute any agreement in conflict with this Assignment;

AND, WE HEREBY further covenant and agree that We will, without further consideration, communicate with Assignee, its successors and assigns, any facts known to us respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns.

IN TESTIMONY WHEREOF, We have hereunto set our hands.

County of Montgomery )  
State of Maryland )

ss.

Jeffrey R. Stinson 19253 Treadway Rd. Brookeville, MD 20833  
15030 Durham Lane, Davie, Florida 33331

By:

Jeffrey R. Stinson

Date:

7/24/01

Subscribed and sworn to before me this 24th day of July, 2001

Susan Graham, Notary Public

My Commission Expires 12/1/01



SOLE/JOINT INVENTION  
(Worldwide Rights)  
Attorney Docket No. 4995.0032-00

County of Broward )  
State of Florida )

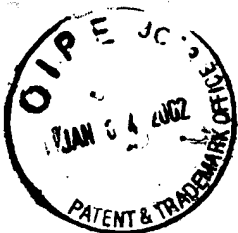
ss.

Hing Wong  
2966 Wentworth, Weston, Florida 33332

By: [Signature]  
Date: August 1, 2001

Subscribed and sworn to before me this 1st day of August, 2001  
[Signature] / Stacy, Notary Public  
Lievano





67-1645

Attorney Docket No. 04995.0032

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT(S): Jeffrey R. Stinson, et al. EXAMINER: J. Graser  
SERIAL NO.: 09/215,163 GROUP: 1645  
FILED: December 12, 1998

**RECEIVED**  
JAN 09 2002  
TECH CENTER 1600/2900

FOR: HUMANIZED MONOCLONAL ANTIBODIES THAT PROTECT AGAINST  
SHIGA TOXIN INDUCED DISEASE

\*\*\*\*\*

**CERTIFICATE OF MAILING**

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on **October 29, 2001**.

By: Patricia A. Barnes  
Patricia A. Barnes

\*\*\*\*\*

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, DC 20231

Sir:

**TRANSMITTAL LETTER**

Applicants submit the following documents as follows:

- 1) Revocation of Prior Powers of Attorney and New Power of Attorney (2 documents).
- 2) Statements Under 37 CFR 3.73(b) – Establishing Right of Co-Assignees to Take Action.
- 3) Assignment (copies).